

*COMMUNITY SERVICES BLOCK GRANT
APPLICATION AND PLAN*

SUBMITTED BY
THE
CONNECTICUT
DEPARTMENT OF SOCIAL SERVICES
FOR THE PERIOD OF
OCTOBER 1, 2006 – SEPTEMBER 30, 2008

AUGUST 31, 2006

The amounts reflected herein for FFY 2007 and FFY 2008 allocations are projections based on FFY 2006 CSBG funding from the Department of Health and Human Services. These figures should be considered an estimate and are expected to be revised based on actual appropriations.

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I. Federal Fiscal Years Covered by this State Plan and Application

This biennial plan is submitted for the period OCTOBER 1, 2006 – SEPTEMBER 30, 2008.

II. Letter of Transmittal

COMMUNITY SERVICES BLOCK GRANT PROGRAM

Connecticut

STATE

Connecticut Department of Social Services

INDIAN TRIBE OR STATE ORGANIZATION

NAME OF OFFICIAL TO RECEIVE CSBG GRANT AWARD:

Patricia A. Wilson-Coker, Commissioner

(Name and Title)

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(State Agency)

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EIN NUMBER: 06-1274678

DATE: August 31, 2006

III. Executive Summary

A. CSBG State Legislation

The statutory authority to administer the Community Services Block Grant (CSBG) program is contained in section 17b-2 of the Connecticut General Statutes. This section also contains a statement of purpose for the program and a requirement that the Department negotiate an allocation formula for funds passed through to the eligible entities with the Community Action Agencies (CAAs). The statutory authority is reprinted in the Appendix.

B. Designation of the Lead State Agency to Administer the CSBG Program

The Department of Social Services' responsibility for administering the CSBG program is also contained in Section 17b-2 of the Connecticut General Statutes. Patricia A. Wilson-Coker is the Commissioner of the Department and is therefore the designated administrator for purposes of the CSBG program.

C. Public Hearing Requirements

A Public and Legislative Hearing on the proposed CSBG State Plan is held annually in September. Copies of the proposed plan were made available for public inspection at both the CAAs and the Department of Social Services web site prior to the hearing. Notice of the hearing appeared in the state Legislative Bulletin and was available on the Connecticut General Assembly web site at least one week in advance of the hearing.

IV. Statement of Federal and CSBG Assurances

As part of the annual or biennial application and plan required by Section 676 of the Community Services Block Grant Act as amended, (42 U.S.C. 9901 et seq.) (The Act), the designee of the chief executive of the State of Connecticut, the Commissioner of the Connecticut Department of Social Services, hereby agrees to the Assurances in Section 676 of the Act:

A. Programmatic Assurances

1. Funds made available through this grant or allotment will be used:
 - (a) To support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under part A of Title IV of the Social Security Act (42 U.S.C. 601 et seq.), homeless families and individuals, migrant or seasonal farm workers, and elderly low-income individuals and families to enable the families and individuals to:
 - (i) remove obstacles and solve problems that block the achievement of self-sufficiency (including self-sufficiency for families and

individuals who are attempting to transition off a State program carried out under part A of Title IV of the Social Security Act);

- (ii) secure and retain meaningful employment;
 - (iii) attain an adequate education, with particular attention toward improving literacy skills of low-income families in the communities involved, which may include carrying out family literacy initiatives;
 - (iv) make better use of available income;
 - (v) obtain and maintain adequate housing and a suitable living environment;
 - (vi) obtain emergency assistance through loans, grants, or other means to meet immediate and urgent family and individual needs; and
 - (vii) achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners to document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;
- (b) To address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and after-school child care programs; and
- (c) to make more effective use of, and to coordinate with, other programs (including State welfare reform efforts). [(‘676(b)(1)]
- (2) To describe how the State intends to use discretionary funds made available from the remainder of the grant or allotment described in Section 675C(b) of the Act in accordance with the community services block grant program, including a description of how the State will support innovative community and neighborhood-based initiatives related to the purposes of the community services block grant program; [‘676(b)(2)]
- (3) To provide information provided by eligible entities in the State, including:

- a. a description of the service delivery system, for services provided or coordinated with funds made available through grants made under Section 675C(a) of the Act, targeted to low-income individuals and families in communities within the State:
 - b. a description of how linkages will be developed to fill identified gaps in services, through the provision of information, referrals, case management, and follow-up consultations;
 - c. a description of how funds made available through grants made under Section 675(a) will be coordinated with other public and private resources; and
 - d. a description of how local entities will use the funds to support innovative community and neighborhood-based initiatives related to the purposes of the community services block grant, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging effective parenting. ['676(b)(3)]
- (4) To ensure that eligible entities in the State will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals. ['676(b)(4)]
 - (5) The State and the eligible entities in the State will coordinate, and establish linkages between governmental and other social services programs to assure the effective delivery of such services to low-income individuals and to avoid duplication of such services, and the State and the eligible entities will coordinate the provision of employment and training activities in the State and in communities with entities providing activities through statewide and local workforce investment systems under the Workforce Investment Act of 1998. ['676(b)(5)]
 - (6) To ensure coordination between antipoverty programs in each community in the State, and ensure, where appropriate, that emergency energy crisis intervention programs under Title XXVI (relating to low-income home energy assistance) are conducted in such communities. ['676(b)(6)]
 - (7) To permit and cooperate with Federal investigations undertaken in accordance with section 678D of the Act. ['676(b)(7)]
 - (8) That any eligible entity in the State that received funding in the previous fiscal year through a community services block grant under the community services block grant program will not have its funding terminated under this subtitle, or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in Section 678C(b) of the Act. ['676(b)(8)]

- (9) The State and eligible entities in the State will, to the maximum extent possible, coordinate programs with and form partnerships with other organizations serving low-income residents of the communities and members of the groups served by the State, including religious organizations, charitable groups, and community organizations. ['676(b)(9)]
- (10) To require each eligible entity in the State to establish procedures under which a low-income individual, community organization, or religious organization, or representative of low-income individuals that considers its organization, or low-income individuals, to be inadequately represented on the board (or other mechanism) of the eligible entity to petition for adequate representation.
- (11) To secure from each eligible entity in the State, as a condition to receipt of funding, a community action plan (which shall be submitted to the Secretary, at the request of the Secretary, with the plan) that includes a community needs assessment for the community served, which may be coordinated with community needs assessments conducted for other programs. ['676(b)(11)]
- (12) That the State and all eligible entities in the State will, not later than fiscal year 2001, participate in the Results Oriented Management and Accountability System, another performance measurement system for which the Secretary facilitated development pursuant to section 678E(b). ['676(b)(12)]
- (13) To provide information describing how the State will carry out the assurances. ['676(b)(13)] (This is the narrative CSBG State Plan.)

B. Administrative Assurances

The State further agrees to the following, as required under the Act:

- (1) To submit an application to the Secretary containing information and provisions that describe the programs for which assistance is sought under the community services block grant program prepared in accordance with and containing the information described in Section 676 of the Act. ['675A(b)]
- (2) To use not less than 90 percent of the funds made available to the State by the Secretary under Section 675A or 675B of the Act to make grants to eligible entities for the stated purposes of the community services block grant program and to make such funds available to eligible entities for obligation during the fiscal year and the succeeding fiscal year, subject to the provisions regarding recapture and redistribution of unobligated funds outlined below. ['675C(a)(1) and (2)]
- (3) In the event that the State elects to recapture and redistribute funds to an eligible entity through a grant made under Section 675C(a)(1) when unobligated funds exceed 20 percent of the amount so distributed to such eligible entity for such fiscal year, the State agrees to redistribute recaptured funds to an eligible entity, or require the original recipient of the funds to redistribute the funds to a private, nonprofit organization, located within the community served by the

original recipient of the funds, for activities consistent with the purposes of the community services block grant program. ['675C (a)(3)]

- (4) To spend no more than the greater of \$55,000 or 5 percent of its grant received under Section 675A or the State allotment received under section 675B for administrative expenses, including monitoring activities. ['675C(b)(2)]
- (5) In states with a charity tax credit in effect under state law, the State agrees to comply with the requirements and limitations specified in Section 675(c) regarding use of funds for statewide activities to provide charity tax credits to qualified charities whose predominant activity is the provision of direct services within the United States to individuals and families whose annual incomes generally do not exceed 125 percent of the poverty line in order to prevent or alleviate poverty among such individuals and families. ['675(c)]
- (6) That the lead agency will hold at least one hearing in the State with sufficient time and statewide distribution of notice of such hearing, to provide to the public an opportunity to comment on the proposed use and distribution of funds to be provided through the grant or allotment under Section 675A or '675B for the period covered by the State plan. ['676(a)(2)(B)]
- (7) That the chief executive officer of the State will designate an appropriate State agency for purposes of carrying out State community services block grant program activities. ['676(a)(1)]
- (8) To hold as least one legislative hearing every three years in conjunction with the development of the State plan. ['676(a)(3)]
- (9) To make available for the public inspection each plan or revised State plan in such a manner as will facilitate review of and comment on the plan. ['676(e)(2)]
- (10) To conduct the following reviews of eligible entities:
 - (a) full onsite review of each such entity at least once during each three-year period;
 - (b) an onsite review of each newly designated entity immediately after the completion of the first year in which such entity receives funds through the community services block grant program;
 - (c) follow-up reviews including prompt return visits to eligible entities, and their programs, that fail to meet the goals, standards, and requirements established by the State;
 - (d) other reviews as appropriate, including reviews of entities with programs that have had other Federal, State or local grants (other than assistance provided under the community services block grant program) terminated for cause. ['678B(a)]

- (11) In the event that the State determines that an eligible entity fails to comply with the terms of an agreement or the State plan, to provide services under the community services block grant program or to meet appropriate standards, goals, and other requirements established by the State (including performance objectives), the State will comply with the requirements outlined in Section 678C of the Act, to:
- (a) inform the entity of the deficiency to be corrected;
 - (b) require the entity to correct the deficiency;
 - (c) offer training and technical assistance as appropriate to help correct the deficiency, and submit to the Secretary a report describing the training and technical assistance offered or stating the reasons for determining that training and technical assistance are not appropriate;
 - (d) at the discretion of the State, offer the eligible entity an opportunity to develop and implement, within 60 days after being informed of the deficiency, a quality improvement plan and to either approve the proposed plan or specify reasons why the proposed plan cannot be approved;
 - (e) after providing adequate notice and an opportunity for a hearing, initiate proceedings to terminate the designation of or reduce the funding to the eligible entity unless the entity corrects the deficiency. ['678(C)(a)]
- (12) To establish fiscal controls, procedures, audits and inspections, as required under Sections 678D(a)(1) and 678D(a)(2) of the Act.
- (13) To repay to the United States amounts found not to have been expended in accordance with the Act, or the Secretary may offset such amounts against any other amount to which the State is or may become entitled under the community services block grant program. ['678D(a)(3)]
- (14) To participate, by October 1, 2001, and ensure that all eligible entities in the State participate in the Results-Oriented Management and Accountability (ROMA) System. ['678E(a)(1)]
- (15) To prepare and submit to the Secretary an annual report on the measured performance of the State and its eligible entities, as described under '678E(a)(2) of the Act.
- (16) To comply with the prohibition against use of community services block grant funds for the purchase or improvement of land, or the purchase, construction, or permanent improvement (other than low-cost residential weatherization or other energy-related home repairs) of any building or other facility, as described in Section 678F(a) of the Act.

- (17) To ensure that programs assisted by community services block grant funds shall not be carried out in a manner involving the use of program funds, the provision of services, or the employment or assignment of personnel in a manner supporting or resulting in the identification of such programs with any partisan or nonpartisan political activity or any political activity associated with a candidate, or contending faction or group, in an election for public or party office; any activity to provide voters or prospective voters with transportation to the polls or similar assistance with any such election, or any voter registration activity. ['678F(b)]
- (18) To ensure that no person shall, on the basis of race, color, national origin or sex be excluded from participation in, be denied the benefits of, or be subjected to discrimination under, any program or activity funded in whole or in part with community services block grant program funds. Any prohibition against discrimination on the basis of age under the Age Discrimination Act of 1975 (42 U.S.C. 6101 et seq.) or with respect to an otherwise qualified individual with a disability as provided in Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), or Title II of the Americans with Disabilities Act of 1990 (42 U.S.C. 12131 et seq.) shall also apply to any such program or activity. ['678F(c)]
- (19) To consider religious organizations on the same basis as other non-governmental organizations to provide assistance under the program so long as the program is implemented in a manner consistent with the Establishment Clause of the first amendment to the Constitution; not to discriminate against an organization that provides assistance under, or applies to provide assistance under the community services block grant program on the basis that the organization has a religious character; and not to require a religious organization to alter its form of internal government except as provided under Section 678B or to remove religious art, icons, scripture or other symbols in order to provide assistance under the community services block grant program. ['679]

C. Other Administrative Certifications

The State also certifies the following:

- (1) To provide assurances that cost and accounting standards of the Office of Management and Budget (OMB Circular A-110 and A-122) shall apply to a recipient of community services block grant program funds.
- (2) To comply with the requirements of Public Law 103-227, Part C Environmental Tobacco Smoke, also known as the Pro-Children Act of 1994, which requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity routinely or regularly for the provision of health, day care, education, or library services to children under the age of 18 if the services are funded by a Federal Grant, contract, loan or loan guarantee. The State further agrees that it will require the language of this certification to be included in any subawards, which contain provisions for children's services and that all subgrantees shall certify accordingly.

Signature_____

Patricia A. Wilson-Coker, Commissioner
Administrator/Director of Designated Lead Agency

August 31, 2006
Date

V. The Narrative State Plan

A. Administrative Structure

(1) State Administrative Agency

The Connecticut Department of Social Services is a large integrated human services agency with a budget in excess of \$4 billion. The mission of the Department of Social Services is to serve families and individuals who need assistance in maintaining or achieving their full potential for self-direction, self-reliance and independent living. In support of this mission, DSS provides a continuum of core services for eligible residents of Connecticut that provide a means to access basic needs, improve workforce viability and promote independent living. Within these core services, DSS is responsible for administering more than 90 legislatively authorized programs as well as a number of federal programs that provide food and nutritional services, shelter and housing services, income support services, health and behavioral health services and support and safety services.

Within the Department of Social Services, the Office of Strategic Planning has responsibility for administering CSBG. The Office of Strategic Planning has responsibility, within the Office of the Commissioner, to align agency vision, mission, goals, operating principles and programs and to develop a strategic plan to guide the agency in preparing to meet future service and program needs. Within this framework, the division serves as the liaison to the Community Action Agencies, administers the Fatherhood Initiative of Connecticut and coordinates the implementation of the Human Services Infrastructure (HSI) project.

The Office of Strategic Planning supports CSBG implementation by:

- Acting as the liaison between the State of Connecticut and various federal agencies;
- Encouraging local programs to coordinate with each other effectively;
- Promoting improved service delivery through improved management and collaboration;
- Informing and advising the executive team and legislative bodies of programmatic issues and concerns;
- Coordinating programs and leveraging funds with other state agencies; and
- Providing technical assistance and training to grantee agencies.

The development of contracts with CSBG eligible entities, including agency specific goals and outcomes, and program monitoring are primarily the responsibility of the staff assigned to the Office of Strategic Planning.

2. Eligible Entities

There are currently twelve (12) Community Action Agencies (CAAs) and one (1) Limited Purpose Agency (LPA) that qualify as eligible entities in Connecticut:

- Action for Bridgeport Community Development, Inc. (ABCD)
- Bristol Community Organization, Inc. (BCO)
- Community Action Committee of Danbury, Inc. (CACD)
- Community Renewal Team, Inc. (CRT)
- CTE, Inc.
- Community Action Agency of Greater New Haven, Inc. (CAANH)
- Human Resource Agency of New Britain, Inc. (HRANB)
- New Opportunities, Inc. (NOW)
- Norwalk Economic Opportunity Now, Inc. (NEON)
- Training, Education and Manpower, Inc. (TEAM)
- Thames Valley Council for Community Action, Inc. (TVCCA)
- ACCESS Agency, Inc.
- Connecticut Association for Community Action, Inc. (CAFCA)

A map showing the geographic area served by each CAA can be found in the Appendix of this application.

3. Distribution and Allocation of Funds

Connecticut proposes to distribute just under ninety three percent (92.75%) of all FFY 2007 and FFY 2008 CSBG funding to the state's CAAs and LPA based on the allocation formula described below. Approximately five percent (5%) will be allocated to state agency administration and the remaining funds will be allocated for discretionary purposes.

Table I
Proposed Allocation of CSBG Funds For FFY 2007 and FFY 2008

Fund Category	FFY 2007 Proposed Allocations	FFY 2008 Proposed Allocations
Restricted	\$7,018,826	\$7,018,826
Discretionary	199,547	191,482
Administrative	348,740	356,805
Total CSBG	\$7,567,113	\$7,567,113

B. Description of Criteria and Distribution Formula

The distribution of CSBG funds to eligible entities is governed by Connecticut General Statutes Section 17b-888, which requires that eligible entities be given first priority in the allocation of CSBG funds, and that the Department of Social Services negotiate an agreement with the CAAs on the formula for distribution of funds to each eligible entity. The formula for the distribution of funds was most recently revised in 1997.

Under the present agreement, each CAA receives a base amount equal to one-half of its FFY 1996 allocation. The remaining funds are allocated to CAAs based on the proportion of the state's population at or below 125% of poverty who reside in each CAA service area based on the 1990 census. The formula also includes an adjustment whereby the allocations of ten agencies are reduced by relatively minor amounts to support the allocations of the two agencies that received the smallest increases when the national funding level was increased in FFY 1997. The Department follows federal requirements for the proportional allocation of funds to CAAs. The agreement between the state and the CAAs calls for renegotiation of the distribution formula in the event that there is a substantial decrease in Connecticut's allocation.

The funding level for the Connecticut Association for Community Action (CAFCA), which is the state's only LPA and provides services on a statewide basis, is negotiated between the state and the CAFCA Board which is comprised of the Executive Directors of the 12 CAAs.

Any carry-over identified after the close of FFY 2006 will be carried forward in the category in which it was originally allocated. Funds not allocated at the CAA level will be carried forward pursuant to the requirements of the Act.

C. Description of Distribution and Use of Restricted Funds

All eligible entities in Connecticut are private non-profit agencies. The following table shows the anticipated distribution of funds to eligible entities in FFY 2007 and FFY 2008:

Table II
Proposed Allocation to Eligible Entities, FFY 2007 and FFY 2008

Eligible Entities/LPA	FFY 2007 Proposed Allocations	FFY 2008 Proposed Allocations
Action for Bridgeport Community Development, Inc. (ABCD)	\$848,671	\$848,671
Bristol Community Organization, Inc. (BCO)	417,215	417,215
Community Action for Committee of Danbury, Inc. (CACD)	187,759	187,759
Community Renewal Team, Inc. (CRT)	1,029,094	1,029,094
CTE, Inc.	243,386	243,386
Community Action Agency of New Haven, Inc. (CAANH)	1,668,787	1,668,787
Human Resource Agency of New Britain, Inc. (HRANB)	375,496	375,496
Norwalk Economic Opportunity Now, Inc. (NEON)	299,011	299,011
New Opportunities, Inc. (NOW)	201,666	201,666
Training, Education and Manpower, Inc. (TEAM)	879,625	879,625
Thames Valley Council for Community Action, Inc. (TVCCA)	210,011	210,011
ACCESS Agency, Inc.	453,371	453,371
Connecticut Association for Community Action, Inc. (CAFCA)	204,734	204,734
TOTAL – Formula Allocations	\$7,018,826	\$7,018,826

For FFY 2007, the state negotiated with the CAFCA Board to provide greater funding to CAFCA out of the funds restricted for eligible entities. This is being accomplished by an "assessment" of one percent (1%) from the final FFY 2006 funding allotment

for each CAA. This change reflects the Department's commitment to a unified network of CAAs, as made manifest through the efforts of its statewide association, and the concomitant need to assure its ongoing viability through more stable funding.

FFY 2007 and 2008 proposed allocations assume funding level with FFY 2006. Any change in funding will be administered based on the formula negotiated with the Community Action Agencies. Any carry-over identified after the close of FFY 2006 will be carried forward in the category in which it was originally allocated. Funds not allocated at the CAA level will be carried forward pursuant to the requirements of the Act.

Allocations to CAAs will be available for use by the CAA for two federal fiscal years. Funds will only be recaptured if there are funds remaining at the end of a two-year allocation period, or if there is a reduction in funding pursuant the provisions of Section 678C of the Act, in which case the procedures for implementation of that Section shall be followed.

Funds will be used by eligible entities to support a wide variety of programs that serve the purposes of the Act and to support the implementation of the state's Human Services Infrastructure (HSI) project.

D. Description of Distribution and Use of Discretionary Funds

Connecticut will continue to use its discretionary funds for purposes consistent with Section 675C(b) of the Act. As in FFY 2006, training, technical assistance, software and system support as well as personnel to provide ongoing support for statewide HSI and ROMA implementation will be given priority for FFY 2007 and 2008, with the possibility of providing small grants to support innovative programming.

Table III
Proposed Discretionary Allocations

Discretionary Funds	FFY 2007	FFY 2008
	\$199,547	\$191,482

E. Description of Use of Administrative Funds

Connecticut proposes to use approximately 5% of the state's CSBG allocation for Administrative costs. These dollars will partially fund five (5) positions or 2.31 FTEs at the Department of Social Services for administration, monitoring and planning related to CSBG implementation. These positions will be used to oversee CSBG and related CAA contracted programs. Additional funds will support fringe benefit and indirect costs related to these staff as well as conference and travel costs incurred in the performance of their administrative duties.

Table IV
Proposed Administrative Allocations

Administrative Costs	FFY 2007	FFY 2008
Salaries	\$173,064	\$178,133
Fringe Benefits	102,315	105,312
Indirect Costs	66,360	66,360
Travel	7,000	7,000
Total	\$348,740	\$356,805

F. State Community Services Program Implementation

(1) Program Overview

(a) The Service Delivery System

The majority of the CSBG funds that CAAs receive are used for planning, coordination, and administrative support that are difficult to fund through program grants. These activities include, but are not limited to, performing community needs assessments and supporting the development of automated client tracking and outcome based performance measurement systems required for ROMA compliance. In addition, CSBG funding is used to supplement funding for programs not fully funded by their primary funding sources, and, in some cases, may be used as the primary source for program funding. Primary funding for direct services such as Employment and Training, Job Readiness, Literacy (ESL and GED) programs, Eviction Prevention, IDA Programs, and Energy Assistance comes from other funding sources. CSBG funding constitutes core CAA funding, and provides the flexible resources that make obtaining, coordinating, leveraging and administering these programs possible. CSBG also provides funding that makes technical assistance, training and administrative support available to the CAA network through the LPA.

Connecticut is a difficult place for poor and low-income workers to live because it has a high cost of living. It is a state of extremes, having one of the highest per capita income levels in the nation, along with some of the poorest cities in the nation. People, especially non-English speaking persons, often need assistance in applying for the services they need. Without access to public and private assistance programs, this vulnerable population can often end up in crisis situations that ultimately can lead to greater state government expense, such as homelessness, or involvement in juvenile justice, etc.

The Connecticut Community Action Network, uniquely positioned and having the expertise, has helped the state create a more innovative and automated “one-stop” approach to human services delivery, integrating intake, assessment, state and federal program eligibility, information and referral, and client outcome measurement through ROMA

implementation. Through the collaboration of efforts between the Department of Social Services, the CAA Network and the United Way's 2-1-1 Infoline, in an approach known as the Connecticut Human Services Infrastructure (HSI) initiative, the many and vitally important services available through the CAA Network for addressing the needs of the state's individuals and families living in poverty are now being delivered in a better coordinated, client-centered and integrated manner.

Utilizing Human Services Infrastructure funds (state), Community Service Block Grant funds (federal), and other federal, state and private program funding streams, CAAs have created an intake and assessment system that provides customers with a comprehensive array of services that meet their needs and support their movement toward self-sufficiency. CAAs have existing and newly forged partnerships with other community-based providers, the faith community, businesses, and state and local government that leverage in-kind resources, improve program efficiency, coordinate service delivery, eliminate duplicative services, and improve community planning.

(b) Linkages

Partnering and forming alliances with other local service providers is an integral part of the role of a Community Action Agency. The Department of Social Services requires that every CAA address coordination as part of its annual community action plan and report the extent to which it succeeds as a ROMA outcome. Linkages, both statewide and local, are an integral part of the HSI approach.

One agency, TVCCA, reports that the ROMA/HSI philosophy is having an impact in their service delivery area, particularly in their relationships with area hospitals. Through collaborations to better serve those in need, the local Backus Hospital is learning that in referring a patient to TVCCA, they are helping connect that individual with a broad and integrated range of services.

For FFY 2005, the CAA network reported that they have formed a total of 1,269 organizational partnerships, ninety-nine (99) with faith-based organizations, in their efforts to expand resources and opportunities in order to achieve family and community outcomes.

Also in FFY 2005, an MOU, drafted at the federal level to support this process and dialogue, was finalized between Connecticut's Head Start Association and CAFCA, forging stronger linkages with Head Start.

(c) Coordination with Other Public and Private Resources

The leveraging of third party resources is also an integral part of the role of the CAA. For FFY 2005 Connecticut's CAAs, which received approximately \$7 million in CSBG funding, reported leveraging more than

\$178 million, including almost \$21 million in private resources, \$40 million in state resources and \$4 million in local resources.

(d) Innovative Community and Neighborhood Based Initiatives

In FY 2005, Connecticut's CAAs had the opportunity to revisit and revitalize their agency mission and goals through participation in training provided by Move the Mountain Leadership Center. The ultimate goal of that training is to assist and equip agencies to develop high impact solutions to end poverty. Several of the CAAs have taken that training, developed new strategic plans based on the model, and are in the beginning stages of moving the model into their communities. One high impact model entails focused discussions with other area service providers, business and community leaders. Those conversations then lead to establishment of "Circles of Support", small cadres of committed individuals from various sectors of the community coming together to work directly with a family living in poverty. The individuals in these Circles learn, in a very personal way, about the realities of living in poverty, and have opportunities for direct, active participation in efforts to meet their particular family's needs as they arise, always with the goal of encouraging and building the family's own capacity for self support, and self sufficiency. One of Connecticut's CAAs, New Opportunities, has even been chosen to be a Move the Mountain laboratory site, and have been training their staff in preparation for the work of creating local "Circles of Support".

Additionally, one (1) of the state's CAAs (ABCD) is participating in The Connecticut Regional Initiative to Eliminate Achievement and Economic Gaps. This project seeks the development of strategies that can close the achievement gaps between the region's children living in poverty, and those not in poverty. It is bringing together representatives from the community, public and private schools and universities, non-profit community, business community, faith-based community, and elected officials. One activity arising from this initiative that ABCD helped launch is a series of Community Conversations in the city of Bridgeport. That series will culminate in an Educational Summit where participants will provide input for the strategic plan for the city's school system.

(2) Community Needs Assessments

Prior to the development of the CSBG State Plan and their annual contracts, the Department receives from each CAA an annual community action plan that includes a community needs assessment for their service delivery area. Needs assessment and development of the plan is one of several topics covered in a series of regularly scheduled meetings with CAA planners that are attended by all CAAs, a designee of the State Office and led by the LPA.

(3) Tri-Partite Boards

Each CAA is required to have a tri-partite Board of Directors that conforms to the requirements of the Act. In addition to the language in the Act itself, this requirement is contained in C.G.S. Section 17b-886 and reiterated in the Department's CSBG contracts with each CAA and the LPA. Board representation is reviewed as part of the regular monitoring done by DSS staff. Based on such monitoring, the Department's CSBG contract staff, in collaboration with CAFCA and representatives from the Northeast Institute for Quality Community Action (NIQCA), is currently working closely with one agency, CACD, in a revision of its Board bylaws and structure to better ensure full compliance with this requirement.

(4) State Charity Tax Program

Connecticut does not fund a State Charity Tax Program under Section 675C of the Act.

(5) Programmatic Assurances

(a) Assurance '676(b)(1):

Funds made available through the grant or allotment will be used:

1. To support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under part A of title IV of the Social Security Act (42 U.S.C. 601 et seq.), homeless families and individuals, migrant or seasonal farm workers, and elderly low-income individuals and families to enable families to:

a) remove obstacles and solve problems that block the achievement of self-sufficiency (including self-sufficiency for families and individuals who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act);

Supported with CSBG funds, Connecticut's CAAs offer a wide range of services that address barriers to self-sufficiency. These include, but are not limited to, services to assist clients in:

- obtaining skills and competencies required for employment;
- completion of ABE/GED;
- enrolling children in before/after school programs or daycare;
- obtaining access to reliable transportation;
- obtaining health care services;
- obtaining safe and affordable housing

Understanding the barrier to full employment presented by day care services that do not cover full workday hours, TVCCA has made a commitment to provide extended day

care services that operate year round, and is also implementing “wrap around” care at their Head Start centers.

b) secure and retain meaningful employment;

CAAs across the state work with their customers in preparing for, finding, and retaining meaningful employment. Additionally, they support individuals in their efforts to obtain increases in their earnings. For FFY 2005, the network reported helping 6,177 unemployed individuals start employment. Several agencies operate their area Workforce Investment Board’s One Stop Center. In that role, they are well situated to connect One Stop customers seeking employment with other necessary services. Many other agencies participate at their local One Stop Center by providing case management, which further allows them to help connect clients with needed services.

c) attain an adequate education, with particular attention toward improving literacy skills of low-income families in the communities involved, which may include carrying out family literacy initiatives;

Connecticut’s CAA Network routinely supports their customers in the attainment of an adequate education, to include basic literacy skills. This may include the direct provision of Adult Education or other services, as well as working with families whose children are enrolled in Head Start. In FFY 2005, they reported 965 customers who received their ABE/GED certificates or diplomas, and another 98 individuals who completed a post-secondary education program, obtaining a certificate or diploma.

d) make better use of available income;

All of Connecticut’s CAAs provide some form of financial counseling and assistance, while a total of nine (9) agencies report that they serve as providers for the state’s Individual Development Accounts (IDA). In the FFY 2005 CSBG-IS report, the CAAs report some 348 clients opened IDA or other savings accounts, for an aggregate total of \$365,339.00 in savings.

Several of the CAAs are also VITA sites, and were able to help 3,339 individuals or families identify tax credits totaling \$6,609,023.00.

e) obtain and maintain adequate housing and a suitable living environment;

Through a range of services, including Eviction Prevention and Mediation, Emergency or Transition Shelters, Subsidized Housing as well as Supportive Housing or Assisted Living, Connecticut’s

CAAs report that in FFY 2005, they assisted 7,875 individuals obtain safe and affordable housing. Additionally, all twelve (12) CAAs help deliver Energy Assistance to the state's vulnerable households, further helping them maintain a suitable living environment.

Many of Connecticut's CAAs have identified the need for safe, affordable and permanent housing within their service delivery area. One agency (BCO), has listed in their 2006-2007 strategic plan the renovation of a two family house it owns as one of the efforts they will undertake, thereby adding to the area's affordable housing stock. Another agency, CRT, anticipates Fall 2007 occupancy for their Grandfamily Housing Development, 40 subsidized rental units for mixed ages, housing that includes case management support and linkages to services.

f) obtain emergency assistance through loans, grants, or other means to meet immediate and urgent family and individual needs; and

Whether through vendor or landlord payments, case management, information and referral, or the delivery of needed services, the CAA Network routinely helps their clients obtain emergency assistance. They deliver the state's Eviction Prevention and Mediation program, run shelters, provide transportation services, and run Food Pantries and Clothing Closets.

Also, within the HSI collaboration, staffs in all twelve (12) CAAs provide pre-screening assistance for their customers who may be eligible for the TANF, Food Stamp, Medicaid or other benefits available through the state's regional DSS offices. The CAAs help the client compile the documentation required, may assist in the completion of the paper application form, and refer them to DSS. Reciprocating in the partnership, the Department has provided the CAAs with remote "read only" access to its Eligibility Management System (EMS) so that CAA Case Managers are able to conduct informed follow up with their customers, as they can see whether the customer ever presented at the DSS office, and whether the benefits were granted.

g) achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners to document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts.

The CAA Network reports that Connecticut's low-income people donated an impressive total of 878,674 hours to Community Action in FFY 2005. Those hours might be spent serving on boards or policy councils, helping set policy and make decisions affecting the community where they live. As stated elsewhere, the creation of partnerships is central to the way Community Action operates in Connecticut.

One agency (HRA) is actively involved in the start up of their town's East Side Community Action/Neighborhood Revitalization Zone. The project seeks to: build a sense of community, along with neighborhood leadership; stabilize the deterioration of housing stock; improve public safety; foster economic development; and identify human service needs and develop programs to fulfill those needs. HRA helped secure funding for a part time coordinator, and now serves as its fiduciary agent. .

(2) To address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and after-school child care programs; and

As with all other service categories, the delivery of services and coordination with other agencies is based on local needs and, virtually all of the state's CAAs operate some type of program targeted towards youth including, but not limited to, operating employment programs targeted to youth, as well as case management and counseling programs for young men and women, providing Alternatives to Incarceration (AIC) programs and sponsoring youth recreation programs.

The individual agencies target their programs to address specific needs in their communities and draw upon resources made available by other public and private funders to meet that need. For example, NEON, in collaboration with the South Norwalk Community Center, runs Youth Matters, a WIA-funded program for Norwalk's out-of-school, low-income, at-risk youth, designed to assist these youth in eliminating employment barriers, enhancing employability, and acquiring life and leadership skills. CTE is involved in several collaborative efforts in their greater Stamford community, including operating the Lathon Wider Community Center as the Safe Haven for the Stamford Weed and Seed Program. They've secured new grant funds for an in-school project

operated in collaboration with the public schools, Chamber of Commerce, Junior Achievement and the Mayor's Youth Services Bureau.

- (3) To make more effective use of, and to coordinate with, other programs (including State welfare reform efforts).

Making more effective use of and coordinating with other programs is an integral part of the CAA mission, is reflected in the partnerships and working agreements CAAs form at the local level, and is fundamental to the state's HSI philosophy of integrated service delivery. In one community, the CAA (ACCESS) is newly hosting a Welcome Center--a joint effort of twelve (12) community providers--serving as a drop-in information and referral source for new community members or established members looking for services to meet their or their families needs.

As previously noted, many CAAs operate as sub-contractors for the Department of Labor One-Stop centers in their regions, while others operate welfare to work programs and provide case management services. TANF and former TANF families qualify for all of these services depending upon their individual needs.

As HSI functional partners, CAAs are major providers of a wide range of services to those whose eligibility for TANF has ended but have not yet achieved economic self-sufficiency. Annually, all of the CAAs provide information on the services that they are able to offer and these services are listed at 2-1-1 Infoline, the state's toll free information and referral hotline. The DSS Regional Offices are all aware of the services available at the CAAs and 2-1-1 Infoline, and referrals flow back and forth among the HSI partners regularly. Strong cooperative relationships exist between the local CAAs, local 2-1-1 InfoLine offices and the regional DSS offices buoyed by cross training provided as part of statewide HSI implementation.

- (b) **Assurance '676(b)(4) : Eligible entities** in the State will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals.

Several CAAs in Connecticut operate shelters and food pantries for low-income persons with emergency needs. Several also serve as contractors for the WIC program or Elderly Nutrition programs funded under the Older Americans Act. There are many other non-profit and faith based anti-hunger programs in the state and every CAA in Connecticut maintains referral relationships with local soup kitchens, shelters and emergency food banks. Most CAAs are members of their local anti-hunger coalitions with Executive Directors often sitting on the Boards of such organizations. One CAA (TEAM) serves as the convener for the local anti-hunger network, providing office and meeting space and other administrative support for the coalition.

- (c) **State Assurance '676(b)(5): and the eligible entities in the State** will coordinate, and establish linkages between governmental and other social services programs to assure the effective delivery of such services to low-income individuals and to avoid duplication of such services, and State and the eligible entities will coordinate the provision of employment and training activities in the State and in communities with entities providing activities through statewide and local workforce investment systems under the Workforce Investment Act of 1998.

The Department of Social Services is a large, integrated human service agency that administers a wide range of programs aimed at combating the causes and effects of poverty. The Department is therefore in a position to assure coordination by designating the CAA network to administer such programs as Energy Assistance and Weatherization. As the lead agency for the S-CHIP program, TANF, Food Stamps, Connecticut's Fatherhood Initiative, Older Americans Act, Child Care, and Child Support, DSS can leverage and facilitate strong relationships with other state agencies, as well as between the CAAs and other programs to the benefit of low-income families across the state through HSI. As such and in response to "The Prison and Jail Overcrowding Report 2006", the Department has engaged in a collaborative effort with the Department of Correction (DOC) to increase the accessibility of social services/supports and access to employment related services for inmates slated to be released from prison and thereby help prevent recidivism and support their re-engagement within the community.

In a related project, DSS, DOC, CAFCA, and CAA representatives are developing a pilot to explore the use of the Human Services Infrastructure model (developed by DSS, CAA and Infoline/211 that uses existing resources to identify client barriers and gaps in services, provides case management for clients and track outcomes assessing how clients are doing as a result of services provided.) for pre-released inmates. This pilot will target women inmates from the Charlene Perkins Re-Entry Center. The pilot will utilize a CACFA position to do pre-assessments of inmates prior to release and a part-time CAA/HSI case-manager in the community where the inmates are returning.

Promoting coordination and linkages between the CAA network and the state and local agencies responsible for employment and training programs remains a priority. In Connecticut, all employment and Training programs, whether they are funded through TANF or other federal or state sources, are administered by the State Department of Labor. DSS is represented on the Connecticut Employment and Training Commission, with oversight responsibilities for the statewide employment and training system and also works closely with the Office of Workforce Competitiveness. Many CAA Executive Directors participate on local WIA Boards, Planning Committees and Allocation Committees.

In addition to the Department's statewide efforts, most successful coordination and linkages occur at the community level. At the CAA level, agencies routinely work with Workforce Development Boards, Area Agencies on Aging, local housing authorities, the local Council of Government and other local planning and service agencies to insure referrals for appropriate services and coordination of programs. Some CAAs have been designated as the operator of the WIA one-stop centers in their regions and others have established a strong presence at the regional one-stop center to provide in-depth case management for center clients.

- (d) **Assurance '676(b)(6) :** The state will ensure coordination between antipoverty programs in each community in the State, and ensure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to low-income home energy assistance) are conducted in such communities.

As previously noted, the Department of Social Services is the single state agency for CSBG, SSBG, Energy Assistance, Title XIX and Weatherization programs in Connecticut. The Department also administers TANF, Section 8 Housing Assistance, Child Support Enforcement and over 90 other programs serving low-income and special needs populations throughout the state. Case management, coordination and referral relationships are an integral part of the service delivery system throughout the state and are cornerstones of the HSI project.

- (e) **Assurance '676(b)(9) :** The State and eligible entities in the State will, to the maximum extent possible, coordinate programs with and form partnerships with other organization serving low-income residents of the communities and members of the groups served by the State, including religious organizations, charitable groups, and community organizations.

Efforts to coordinate and form partnerships with other organizations in the service delivery system for low-income persons are previously described in item IV F.1.b. above.

G. Fiscal Controls and Monitoring

(1) State Program Monitoring

(a) On-site Review

The Department of Social Services has reorganized its structure for handling grants and contracts. Staffs previously assigned to regions were brought into the Central Office along with their contracting duties. In an effort to enforce more uniform standards and expectations, all contracts for a particular service or program have been assigned to one person. That program person, with assistance from the Department's Contract and Fiscal Analysis Divisions, is responsible for contract negotiation, payments, reporting and monitoring. Under this reorganization,

responsibility for all CSBG contracts now rests with staff in the Office of Strategic Planning.

On-site monitoring visits to each Community Action Agency in the state are currently underway. Since the CAAs often have multiple contracts for several of the programs administered by DSS, the Department is piloting a joint monitoring project with the CAAs. Under this model, several program staff, along with CSBG staff will conduct their monitoring visits at the same time. The goal is to conduct a more holistic monitoring, to better assess the level of internal program coordination, and to help reduce the time and effort CAA staff and administration must devote to the monitoring process. All monitoring reports are on file at Central Office.

CSBG quarterly programmatic and fiscal reports are requirements in each CAA and LPA contract. These reports are submitted to staff at Central Office and, in accordance with DSS policy, must be submitted prior to the release of payment. These quarterly reports are reconciled against planned fiscal and programmatic measures in the contract.

(b) Newly Designated Entities

In the event that the state designates a new eligible entity, Connecticut will conduct an on-site review after the completion of the entity's first year of operation.

(c) Follow-up Reviews of Agencies that Fail to Meet Goals, Standards, and Requirements Established by the State.

The initial response to an agency's failure to meet goals, standards or contract requirements, will be made by the DSS staff responsible for overseeing the contract. Depending upon the nature, duration and extent of the problem, additional Department staff and contracted resources will be drawn upon to address specific problems in addition to drawing upon the staff resources of the LPA and other CAAs.

(d) Other Reviews, as Appropriate

As noted above, often the initial response to any indications of problems at a CAA will be made by the DSS program staff with appropriate support provided by fiscal and contract staff. Additionally, the LPA is funded by DSS with CSBG funds for technical assistance and training. The type and level of intervention will be dictated by the individual circumstances of the CAA.

In its continuing efforts to support capacity-building and organizational development in each CAA, and insure a strong CAA network, DSS continues to provide additional funds to the LPA to support statewide implementation of the Quality Community Action System (QCAS). The QCAS is a self-assessment, peer review and quality improvement process involving CAA staff, board members and local community members that

is facilitated and led by LPA staff. As of July 31, 2006, all CAAs are scheduled to participate in QCAS within the next two years.

(e) Eligible Entity Audits

The following table lists the date of the last audit and the period covered by the audit:

TABLE V
Agency Audits

Agency	Last Audit	Period Covered
ABCD	9/30/05	10/1/04 – 9/30/05
ACCESS	6/30/05	7/01/04 – 6/30/05
BCO	6/30/05	7/01/04 – 6/30/05
CACD	12/31/05	1/1/05 – 12/31/05
CRT	12/31/05	1/01/05 – 12/31/05
CTE	12/31/05	1/01/05 – 12/31/05
CAANH	9/30/05	10/01/04 – 9/30/05
HRANB	6/30/05	7/01/04 – 6/30/05
NEON	12/31/04	1/01/04 – 12/31/04*
NOW	10/31/05	11/01/04 – 10/31/05
TEAM	4/30/05	5/01/04 – 4/30/05
TVCCA	3/31/05	4/01/04 – 3/31/05
CAFCA	12/31/04	1/01/04 – 12/31/04
Note:* NEON received an extension to 8/31/06.		

2) Corrective Action, Termination and Reduction of Funding

Connecticut has followed the procedures specified in Section 678C of the Act in its work with the Community Action Agency of New Haven (CAANH), an eligible entity that the State has determined, based on its regular and ongoing monitoring and review, was failing to comply with the requirements of their contract under the terms of the state plan and the Act. Working closely with the Department and CAFCA, CAANH has now hired a new Executive Director, and under his direction the agency has: submitted a corrective action plan; is reviewing, revising and streamlining its staffing and structure; and, essential for the future of this agency, is reconstituting its Board of Directors.

(3) Fiscal Controls, Audits and Withholding

The CSBG program is subject to audit by the State Auditors of Public Accounts (State Auditors) under the provisions of the Federal Single Audit Act Amendments of 1996, and the state Single Audit Act (State Single Audit). As part of their annual performance of the State Single Audit, the State Auditors perform audit procedures directed towards determining the accuracy of the expenditures of the CSBG program as they are reported on the Schedule of Expenditures of Federal Awards. In addition, the CSBG program has been subjected to the risk analysis procedures required by OMB Circular A-133,

Sections 520 and 525, to determine if Type B programs represent high risk. The State Auditors assessed control risk relative to Allowable Cost, Allowable Types of Activities and Eligibility in addition to the risk assessment procedures specifically enumerated in OMB Circular A-133. In their latest assessment, the CSBG program was not considered to be a high-risk program. The CSBG program will continue to be subjected to risk assessment procedures in the future.

The latest audit of the Department of Social Services was completed on December 30, 2005, for the period ending June 30, 2004.

- (a) **Assurance '676(b)(7) :** The State will permit and cooperate with Federal investigations undertaken in accordance with section 678D of the Act.

In the event of a Federal investigation, the State will, through the Department of Social Services' Office of Strategic Planning, offer every possible assistance in providing or locating needed information and facilitating necessary contacts.

- (b) **Assurance '676(b)(8):**

Eligible entities that received CSBG funding in the previous year will not have their funding terminated or reduced below the proportional share of funding the entity received in the previous year unless, after providing notice and an opportunity for a hearing on the record, the state determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in Section 678(C) of the Act. Hearings will be conducted by the Fair Hearings Unit of the Department of Social Services pursuant to the procedures established by the state for such hearings.

- (c) **Assurance '676(b)(10) :**

Each Community Action Agency is required to provide a process whereby community stakeholders can petition for representation on the Board of Directors. This requirement is contained in the revised uniform Part I, Section G.5.e, State and Federal Requirements, used for all CSBG contracts with Community Action Agencies.

H. Accountability and Reporting Requirements

- (1) **Results Oriented Management and Accountability. Assurance '676(b)(12)**

As more fully described in its previous CSBG plan, the State of Connecticut has fully implemented the Community Action Plan requirements of ROMA, including the statewide catalog of outcomes and measures for ROMA reporting called the Connecticut Family Agency Community System (CT FACS) Report and Outcome Catalog. The CT FACS Report continues to be used to collect and report outcomes for Part II of the CSBG-IS report.

The Department of Social Services is now moving to a CT FACS Outcomes based report format for its required quarterly CSBG/HSI data reports. Each CAA was previously tasked with developing ROMA Logic Models (which articulate outcomes and measures for each service, linking program-required outcomes with the FACS Outcome Catalog, and with the measurement methods). Next, they have each developed and loaded into their MIS system Action Plans tied to the Outcome Scale Matrix and Client Assessment system. The CAA network is moving to a new level in its ability to track and document each customer's progress toward self-sufficiency and the impact of CAA services and activities.

Along with this, there has been a greater focus on Case Management as applied under the principles of ROMA. The annual CAFCA training conference includes training in several aspects of case management, and one agency (New Opportunities) has undertaken an internal discussion and process for defining the various levels of what has been termed case management in different programs. This process is helping them to better define expectations of staff, and to better meet the needs of their customers, and this information is being shared with the network through the monthly ROMA planners meetings led by CAFCA.

(2) Annual Report. Assurance '678E(a)(2)

The Department works closely with the Connecticut Association for Community Action in the preparation and submission of the Annual Report within the given timeframe. The '05 Annual Report reflects ROMA data collected from all twelve eligible entities in Connecticut as previously stated. We anticipate meeting all requirements for the submission of the '06 Annual Report in March of 2007.

APPENDIX A

DOCUMENTATION OF LEGISLATIVE AND PUBLIC HEARINGS

**Appropriations, Public Health and Human Services Committees
of the Connecticut General Assembly**

Joint Public Hearing

Wednesday, September 20, 2006

1:00 PM

Legislative Office Building

Block Grant Allocation Plans

Community Mental Health Services (Appropriations, Public Health and Human Services)

Substance Abuse Prevention and Treatment (Appropriations and Public Health)

Maternal and Child Health Services (Appropriations and Public Health)

Preventive Health and Health Services (Appropriations and Public Health)

Social Services (Appropriations and Human Services)

Community Services (Appropriations and Human Services)

Committee Meetings will be held immediately following the public hearing to take action on the plans.

Please Note: Limited parking facilities make it impossible to guarantee parking for members of the public attending meetings and functions at the Capitol and LOB. Parking for the public will be on a space-available basis only.

According to C.G.S. 2-1e, at the State Capitol and Legislative Office Building, possession, other than for law enforcement or official ceremonial purposes, of any firearm, whether loaded or unloaded, or billy club, switchblade, gravity knife, bludgeon, brass knuckles or any other dangerous or deadly weapon or instrument, or any explosive, incendiary or other dangerous device, is illegal and punishable by up to five years in prison and \$5,000.

Per Joint Rule 30(c), no person shall use a cellular telephone or similar device (pager) in the Senate Chamber while the Senate is meeting, in the House Chamber while the House is meeting, or in any room or area while a committee is meeting or holding a public hearing. DEVICES MUST BE DEACTIVATED OR HAVE THE ALERT MODE SET TO SILENT.

APPENDIX B

ADDITIONAL DATA OR INFORMATION

- B1. CGS Sec. 17b-885**
- B2. CT CAA Service Delivery Area Map**
- B3. Federal Certifications**
- B4. FFY 05/06 Discretionary Grants**

COMMUNITY ACTION AGENCIES

Sec. 17b-885. (Formerly Sec. 17-635). Definitions. When used in sections 17b-885 to 17b-895, inclusive:

- (a) “Commissioner” means the Commissioner of Social Services;
- (b) “Community action agency” means a public or private nonprofit agency which has previously been designated by and authorized to accept funds from the federal Community Services Administration for community action agencies under the Economic Opportunity Act of 1964 or a successor agency established pursuant to section 17b-892;
- (c) “Community action program” means a community based and operated program which: (1) Includes or is designated to include a sufficient number of projects or components to provide a range of services and activities having a measurable and potentially major impact on causes of poverty in the community or those areas of the community where poverty is a particularly acute problem; (2) organizes and combines its component projects and activities in a manner appropriate to carry out the provisions of sections 17b-885 to 17b-895, inclusive; and (3) conforms to any other criteria the commissioner may prescribe consistent with the provisions of said sections;
- (d) “Community” means a municipality or a county, or any combination thereof, or a neighborhood or other area, irrespective of boundaries or political subdivisions, which provides a suitable organizational base and possesses the commonality of interest and need for a community action program.

(P.A. 82-84, S. 1, 12; P.A. 83-20, S. 1, 6; P.A. 93-262, S. 1, 87.)

History: P.A. 83-20 redefined “community action agency”, adding “a successor agency established pursuant to section 17-467” and deleting “a similar agency recognized as a community action agency by the commissioner”; Sec. 17-460 transferred to Sec. 17-635 in 1991; P.A. 93-262 authorized substitution of commissioner and department of social services for commissioner and department of human resources, effective July 1, 1993; Sec. 17-635 transferred to Sec. 17b-885 in 1995.

Sec. 17b-886. (Formerly Sec. 17-636). Agency board. (a) Each community action agency shall administer its program through a community action board which shall consist of not more than fifty-one and not less than fifteen members and shall be so constituted that:

- (1) One-third of the members of the board are elected public officials currently holding office, or their designees, except that if the number of elected officials reasonably available and willing to serve is less than one-third of the membership of the board, membership on the board of appointive public officials may be counted in meeting such one-third requirement;
- (2) At least one-third of the members of the board are persons chosen in accordance with democratic selection procedures adequate to assure that they are representative of the poor in the area served; and
- (3) The remainder of the members of the board are officials or members of business, industry, labor, religious, welfare, education or other major groups and interests in the community.

(b) Each member of the board selected to represent a specific geographic area within a community shall reside in the area he represents.

(P.A. 82-84, S. 2, 12; P.A. 83-20, S. 2, 6; P.A. 00-158, S. 1, 3.)

History: P.A. 83-20 amended Subsec. (a) by changing from eighteen to fifteen the minimum number of members for the board; Sec. 17-461 transferred to Sec. 17-636 in 1991; Sec. 17-636 transferred to Sec. 17b-886 in 1995; P.A. 00-158 deleted provision in Subsec. (b) that had limited terms for certain board members, effective May 26, 2000.

Sec. 17b-887. (Formerly Sec. 17-637). Agency functions. The functions of a community action agency shall, subject to the provisions of sections 17b-885 to 17b-895, inclusive, and the approval of the Commissioner of Social Services, include, but not be limited to:

(1) Planning systematically for and evaluating the program, including actions to develop information as to the problems and causes of poverty in the community, to determine how much and how effectively assistance is being provided to deal with those problems and causes, and to establish priorities among projects, activities, and areas as needed for the best and most efficient use of resources;

(2) Encouraging agencies engaged in activities related to the community action program to plan for, secure and administer assistance available under sections 17b-885 to 17b-895, inclusive, or from other sources on a common or cooperative basis; providing planning or technical assistance to those agencies; and generally, in cooperation with community agencies and officials, undertaking actions to improve existing efforts to attack poverty, such as improving day to day communications, closing the service gaps, focusing resources on the most needy, and providing additional opportunities to low-income individuals for regular employment or participation in the programs or activities for which those community action agencies and officials are responsible;

(3) Initiating and sponsoring projects responsive to needs of the poor which are not otherwise being met, with particular emphasis on providing central or common services that can be drawn upon by a variety of related programs, developing new approaches or new types of services that can be incorporated into other programs, and filling gaps pending the expansion or modification of those programs; providing technical assistance and other support needed to enable the poor and neighborhood groups to secure on their own behalf available assistance from public and private sources; and

(4) Joining with and encouraging business, labor and other private groups and organizations to undertake, together with public officials and agencies, activities in support of the community action program which will result in the additional use of private resources and capabilities, with a view to such things as developing new employment opportunities, stimulating investment that will have a measurable impact in reducing poverty among residents of areas of concentrated poverty, and providing methods by which residents of those areas can work with private groups, firms and institutions in seeking solutions to problems of common concern.

(P.A. 82-84, S. 3, 12; P.A. 93-262, S. 1, 87.)

History: Sec. 17-462 transferred to Sec. 17-637 in 1991; P.A. 93-262 authorized substitution of commissioner and department of social services for commissioner and department of human resources, effective July 1, 1993; Sec. 17-637 transferred to Sec. 17b-887 in 1995.

Sec. 17b-888. (Formerly Sec. 17-638). Agency funding. Transfer of funds; delegation of powers. A community action agency shall have authority to enter into contracts with private and public nonprofit agencies, to receive and administer funds received pursuant to sections 17b-885 to 17b-895, inclusive, to receive and administer funds and contributions from private and local public sources which may be used in support of a community action program, and to receive and administer funds under any federal or state assistance program pursuant to which a public or private nonprofit agency, organized in accordance with sections 17b-885 to 17b-895, inclusive, could act as grantee, contractor or sponsor of projects appropriate for inclusion in a community action program. Community action agencies and limited purpose agencies previously funded by the Community Services Administration, subject to federal law or regulation, shall be given first priority in the allocation of federal funds under the Community Services Block Grant Act or of any subsequent federal funds that were previously designated as Community Services Administration funds. Such funds shall be distributed through an agreement between the commissioner and the community action agencies. If such agreement is not reached by four weeks before the block grant plan is to be submitted to the General Assembly pursuant to section 4-28b, the Governor and the commissioner shall make the final decision on distribution. In the event the community services block grant is eliminated, each community action agency shall also be given due consideration, subject to the restrictions of applicable law or regulation, in the distribution of federal, state or municipal funds that are available to support antipoverty programs that have been administered by that agency on or after July 1, 1981. A community action agency, subject to the approval of its governing board, shall have authority to transfer funds received and to delegate powers to other agencies.

(P.A. 82-84, S. 4, 12; P.A. 83-20, S. 3, 6.)

History: P.A. 83-20 changed the process for the distribution of funds from a formula based on population to an agreement between the commissioner and the agencies and applied provisions to agencies previously funded by the Community Services Administration; Sec. 17-463 transferred to Sec. 17-638 in 1991; Sec. 17-638 transferred to Sec. 17b-888 in 1995.

Sec. 17b-889. (Formerly Sec. 17-639). Program; community participation; agency priorities. Each community action agency shall establish procedures to assure maximum feasible participation of neighborhood-based organizations, residents of the community and members of the groups served to assist such agency in prioritizing, planning, conducting and evaluating components of the community action program. Agency priorities established under this section shall not be modified without substantial documentation of changed circumstances and, when practicable, the approval of the parties involved in setting those priorities.

(P.A. 82-84, S. 5, 12.)

History: Sec. 17-464 transferred to Sec. 17-639 in 1991; Sec. 17-639 transferred to Sec. 17b-889 in 1995.

Sec. 17-890. (Formerly Sec. 17-640). Program; participant objectives. The priorities of a community action program may include, but not be limited to, component projects designed to assist participants including the elderly poor, in attaining the following objectives.

- (1) To secure and retain meaningful employment;
- (2) To obtain adequate education;
- (3) To provide for education and care of young children;

- (4) To make better use of available income;
- (5) To provide and maintain adequate housing and a suitable living environment;
- (6) To provide information and education on, and access to healthful nutrition;
- (7) To obtain services for the prevention of and rehabilitation from drug abuse and alcoholism;
- (8) To obtain emergency assistance to meet immediate and urgent individual and family needs, including the need for health services, nutritious food, housing, energy and unemployment-related assistance;
- (9) To remove obstacles and solve personal and family problems which block the achievement of self-sufficiency;
- (10) To achieve greater participation in the affairs of the community;
- (11) To make more frequent and effective use of other programs related to the purposes of sections 17b-885 to 17b-895, inclusive;
- (12) To stimulate and take full advantage of capabilities for self-advancement; and
- (13) To designate violence-free zones in accordance with the federal Community Services Block Grant Program (42 USC 9908), for the purpose of addressing the needs of youth through programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration. As used in this subdivision, "violence-free zone" means a geographic area within a targeted investment community, as defined in section 32-222, that has chronically high levels of crime, violence, unemployment, family dissolution and juvenile delinquency and a low rate of home ownership.

(P.A. 82-84, S. 6, 12; P.A. 00-158, S. 2, 3.)

History: Sec. 17-465 transferred to Sec. 17-640 in 1991; Sec. 17-640 transferred to Sec. 17b-890 in 1995; P.A. 00-158 added Subdiv. (13) re designation of violence-free zones, effective May 26, 2000.

Sec. 17b-891. (Formerly Sec. 17-641). Delegation of administration of component projects by agencies; area representation. Where consistent with sound and efficient management and subject to federal law and regulations and the regulations adopted pursuant to section 17b-895, a community action agency may delegate the administration of component projects to other agencies. When a community action agency places responsibility for major policy determinations with respect to the character, funding, extent and administration of and budgeting for programs to be carried on in a particular geographic area within the community in a subsidiary board, council, or similar agency, such board, council or agency shall be broadly representative of such area.

(P.A. 82-84, S. 7, 12.)

History: Sec. 17-466 transferred to Sec. 17-641 in 1991; Sec. 17-641 transferred to Sec. 17b-891 in 1995.

Sec. 17b-892. (Formerly Sec. 17-642). Failure to comply with statutes; loss of designation to serve; assistance to establish new agency. A community action agency shall lose its designation to serve a political subdivision, or a group of political subdivisions, only if the commissioner finds after adequate notice, a written statement of reasons and a fair hearing held in the community served by the agency that such agency has materially failed to comply with sections 17b-885 to 17b-895, inclusive. In such case, the commissioner may provide financial assistance to other public or private nonprofit agencies to aid them in establishing a community action agency in the area no longer served.

(P.A. 82-84, S. 8, 12; P.A. 83-20, S. 4, 6.)

History: P.A. 83-20 authorized financial assistance to establish an agency in the area no longer served; Sec. 17-467 transferred to Sec. 17-642 in 1991; Sec. 17-642 transferred to Sec. 17b-892 in 1995.

Sec. 17b-893. (Formerly Sec. 17-643). Financial assistance. The commissioner may provide financial assistance to community action agencies for planning, conducting, administering and evaluating community action programs and component projects.

(P.A. 82-84, S. 9, 12; P.A. 83-20, S. 5, 6.)

History: P.A. 83-20 deleted former Subsec. (a) re provision of assistance to establish a new agency in an area not previously served; Sec. 17-468 transferred to Sec. 17-643 in 1991; Sec. 17-643 transferred to Sec. 17b-893 in 1995.

See Sec. 17b-892 re community action agency's loss of designation to serve, and financial assistance to other agencies to aid them in establishing a community action agency.

Sec. 17b-894. (Formerly Sec. 17-644). Representatives of community action agencies recognized as knowledgeable on issues affecting low income, elderly and handicapped persons. Compliance with civil rights laws. (a) Representatives of community action agencies shall be recognized as knowledgeable on issues affecting low income, elderly and handicapped citizens for the purposes of sharing information with governmental bodies considering such issues.

(b) All community action agencies, other agencies, contractors and boards thereof included in the provisions of sections 17b-885 to 17b-895, inclusive, shall comply with federal, state and local civil rights laws.

(P.A. 82-84, S. 10, 12.)

History: Sec. 17-469 transferred to Sec. 17-644 in 1991; Sec. 17-644 transferred to Sec. 17b-894 in 1995.

Sec. 17b-895. (Formerly Sec. 17-645). Regulations. On or before October 1, 1982, the Commissioner of Social Services shall adopt regulations, in accordance with the provisions of chapter 54, to implement sections 17b-885 to 17b-894, inclusive.

(P.A. 82-84, S. 11, 12; P.A. 93-262, S. 1, 87.)

History: Sec. 17-470 transferred to Sec. 17-645 in 1991; P.A. 93-262 authorized substitution of commissioner and department of social services for commissioner and department of human resources, effective July 1, 1993; Sec. 17-645 transferred to Sec. 17b-895 in 1995.

CT CAA SERVICE DELIVERY AREA MAP

**Community Action
Agency
Operating Area**

**Action for Bridgeport Community
Development, Inc. (ABCD)**
(203) 384-6904

**Bristol Community Organization, Inc.
(BCO)
(860) 582-7490**

**The Community Action Committee of
Danbury, Inc. (CACD)
(203) 748-5422**

**The Community Renewal Team of
Greater Hartford, Inc. (CRT)**
(860) 560-5745 & (800) 798-3805

TEAM, Inc.
(203) 736-5420

**Human Resources Agency of
New Britain, Inc. (HRAofNB)**
(860) 223-2288

**Community Action Agency of
New Haven, Inc. (CAAofNH)**
(203) 397-5723; (203) 387-7700

**Norwalk Economic Opportunity Now,
Incorporated (NEON)**
(203) 854-1843; (203) 854-1800

**Thames Valley Council for Community
Action, Inc. (TVCCA)**
(860) 889-1365

CTE, Inc. (CTE)
(203) 352-4846

New Opportunities for Waterbury, Inc.
(NOW)
(203) 575-9799 ext. 233 or 234

The ACCESS Agency, Inc.
(860) 450-7400



Community Action Agency Operating Areas

CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE

Public Law 103227, Part C Environmental Tobacco Smoke, also known as the Pro Children Act of 1994, requires that smoking not be permitted in any portion of any indoor routinely owned or leased or contracted for by an entity and used routinely or regularly for provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1000 per day and/or the imposition of an administrative compliance order on the responsible entity. By signing and submitting this application the applicant/grantee certifies that it will comply with the requirements of the Act.

The applicant/grantee further agrees that it will require the language of this certification be included in any sub-awards which contain provisions for the children's services and that all sub-grantees shall certify accordingly.

Signature

August 31 , 2006
Date

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

Certification Regarding Debarment, Suspension, and Other Responsibility Matters -- Primary Covered Transactions

Instructions for Certification

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
5. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.
7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled ``Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.
9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

Certification Regarding Debarment, Suspension, and Other Responsibility Matters -- Primary Covered Transactions

- (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
 - (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;
 - (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
 - (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.
- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988: 45 CFR Part 76, Subpart, F. Sections 76.630(c) and (d)(2) and 76.645(a)(1) and (b) provide that a Federal agency may designate a central receipt point for STATE-WIDE AND STATE AGENCY-WIDE certifications, and for notification of criminal drug convictions. For the Department of Health and Human Services, the central point is: Division of Grants Management and Oversight, Office of Management and Acquisition, Department of Health and Human Services, Room 517-D, 200 Independence Avenue, SW Washington, DC 20201.

Certification Regarding Drug-Free Workplace Requirements (Instructions for Certification)

1. By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.
2. The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
3. For grantees other than individuals, Alternate I applies.
4. For grantees who are individuals, Alternate II applies.
5. Workplaces under grants, for grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.
6. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).
7. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).
8. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

Controlled substance means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

Conviction means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

Criminal drug statute means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

Employee means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All direct charge employees; (ii) All indirect charge employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

The grantee certifies that it will or will continue to provide a drug-free workplace by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an ongoing drug-free awareness program to inform employees about –
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will –
 - (1) Abide by the terms of the statement; and

- (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency in writing, within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted –
 - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).
- (B) The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check if there are workplaces on file that are not identified here.

CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, Title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Signature

Commissioner

Title

Connecticut Department of Social Services

Organization

Statement for Loan Guarantees and Loan Assurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form – LLL, “Disclosure Form to report Lobbying,” in accordance with its instructions.

Signature

Commissioner

Title

August 31, 2006

Date

FFY 2006 DISCRETIONARY GRANTS

Training, Technical Assistance, ROMA Implementation and Systems Support

To support statewide coordination across the CAA network through regularly scheduled meetings, training and technical assistance, promote change in the service delivery structure of each CAA necessary to implement the Human Services Infrastructure (HSI) initiative, meet federal ROMA requirements, coordinate the Quality Community Action System of organizational self-assessment and other related projects. Grantee: Connecticut Association for Community Action.

FFY 2005 DISCRETIONARY GRANTS

Fatherhood Pilot Projects

To provide education, training and employment opportunities in three comprehensive pilot projects targeted to low-income fathers with children receiving cash assistance. Grantees: Career Resources, Bridgeport; Madonna Place, Norwich; Families in Crisis, Cheshire.

Training, Technical Assistance, ROMA Implementation and Systems Support

To support statewide coordination across the CAA network through regularly scheduled meetings, training and technical assistance, promote change in the service delivery structure of each CAA necessary to implement the Human Services Infrastructure (HSI) initiative, meet federal ROMA requirements, coordinate the Quality Community Action System of organizational self-assessment and other related projects. Grantee: Connecticut Association for Community Action.

Faith-based/Fatherhood Collaboration

To increase collaboration in the faith community, to identify and support faith-based fatherhood programs and to establish resource centers in ten (10) faith-based organizations in the greater Hartford area. Grantee Agency: Capitol Region Conference of Churches.

Youth Violence Reduction/Responsible Fatherhood

To support positive family development, reduce youth violence and promote responsible fatherhood in Waterbury. Grantee Agency: New Opportunities for Waterbury; sub-grantee PRIDE, Inc.

Early Childhood Literacy

To promote school readiness in low-income families. Grantee: Connecticut Reading is Fundamental (RIF).